



Subcommittee on State's Hiring Policies and Practices

March 14 Action Item: Appoint members of the committee.

The Executive Order states that the Council will:

Review the State's policies, procedures and practices related to the hiring of a diverse workforce and recommend methods to insure these are implemented and followed throughout state government. The council shall include this information in its annual report....

DAS has gathered each department's current hiring practices and policies and is reviewing them. (Please see the attached memo of December 3, 2008, from Mollie Anderson.) These policies and practices include:

- Policy memo from the department director in support of diversity.
- Policies governing the assignment of hiring responsibility in the organization.
- Procedures describing how vacancies are handled and posted, and promotional practices.
- Descriptions of selection methods including testing, screening, and interviewing practices.
- Procedures for making final selections, communicating with applicants, and background checks.
- Descriptions of how new hires are oriented and managed in the probationary period.

DAS will provide to the subcommittee a summary (see attached) of the findings for each of these.

Suggested subcommittee activities

- Review the DAS summaries or actual materials.
Timeline: After March 28, 2008
- Provide recommendations for next steps to the full Council.
Timeline: After June 1, 2008



December 3, 2007

MEMORANDUM

TO: Department Directors

FR: Mollie Anderson

RE: Requested Information to Comply with Executive Order Four

On October 26, 2007, Governor Culver issued Executive Order Four (EO 4), which directs executive branch state departments to enhance diversity by improving their hiring practices. It also creates a Diversity Council to review state hiring practices and make recommendations. EO 4 further requires departments to submit a written summary of their hiring practices to the Department of Administrative Services – Human Resources Enterprise (DAS-HRE) by February 1, 2008.

To facilitate the process of submitting your written summary, I am providing you with the following information:

Attachment A is a general guidance document that lists the elements of the summary you are being asked to provide. It is designed to assist you to:

- Provide a comprehensive summary of the overall administration of hiring in your department.
- Document your department's policies and practices at each step of the hiring process.
- Identify existing DAS-HRE resources and administrative rules.
- Identify areas in which your policies or practices may need review, clarification, or enhancement.

The remaining attachments are designed to supplement Attachment A by providing additional detail and samples of policies and procedures to assist in the process.

Attachment B – Sample Memorandum of Support for EEO/AA and Diversity

Attachment C – Example of Roles and Responsibilities

Attachment D – Selected Hiring Practices Examples

Attachment E – Checklist for Written Summary

DAS-HRE Personnel Officers will assist and coordinate with you as needed in addressing the technical aspects of providing a summary of your hiring practices. Please note that we are asking you to provide a summary of your current policies and practices. Your existing practices may not include all the items listed in the examples included in this material. Any gaps are areas that you may want to review and enhance over the upcoming weeks and months. Your summary is intended to be a base line.

Diversity training will be developed by DAS-HRE in collaboration with the Diversity Council and approved by the Governor's Office. Your department may be providing diversity training as part of your established affirmative action efforts. If so, there is no reason to discontinue this training; in fact, it will be helpful to the Diversity Council to see what is currently being done within state government in these areas.

I look forward to working with you as we collaborate with the Diversity Council and the Governor's Office to make ongoing improvements to our hiring practices. In the meantime, please continue to engage in activities to promote diversity and a welcoming work environment.

If you have any questions about what is required, please contact your Personnel Officer for direction.

Elements to Include in Written Hiring Practices Summary

Introduction

This document is intended to provide general guidance for all executive branch departments in reporting hiring practices to the Department of Administrative Services – Human Resources Enterprise (DAS-HRE) by February 1, 2008, as required by Executive Order Four. These reporting guidelines are intended to provide a standardized list of items to report. This should not be interpreted as an all-inclusive list of practices that individual departments may be using. However, they represent the main categories where most practices can be placed. You may submit additional information.

Your hiring practices may differ for those positions not covered by the merit system, so please indicate the extent to which they may or may not apply.

Resources

The current guidelines and resource documents provided by DAS-HRE include the Managers and Supervisors Manual, the Applicant Screening Manual, and Chapter 11 of the Iowa Administrative Code (IAC). These and other related resources can be accessed from the following web pages:

Welcome to the HRE Policies and Information Page

<http://das.hre.iowa.gov/policies.html>

General Information for Managers and Supervisors

<http://das.hre.iowa.gov/info-managers.html>

It is recommended that your staff, assigned to document your department's hiring practices, use these resources as current executive branch policy and guidance.

For the purpose of providing a summary of your current hiring practices to DAS-HRE by February 1, please use the remainder of this document as an outline for consistent reporting to DAS-HRE.

A. General Hiring Policy Guidelines and Administration

The following items constitute your overall departmental hiring policy and assignment of organizational responsibility. These items are important in providing the necessary internal controls and participation of your organization in the hiring process. These also serve to support the mission, goals, and strategies of your organization as a whole and among different business units.

In providing this information, your responses should be brief and clearly document how your department administers the hiring function.

Elements to Include in Written Hiring Practices Summary

1. **Memo of Support for Department's Hiring Policy and Practices** – a general statement of support for equal employment, affirmative action, and diversity. A sample memo supporting diversity in the workplace is provided in Attachment B.
2. **Roles and Responsibilities** – a definition of all roles and responsibilities of those involved in the hiring process, along with the training required to support these activities. See Attachment C for a general example.
3. **Recruitment and Retention** – EO 4 requires a formalized recruitment and retention plan for each Department. This plan will not be a submission requirement at this time. It will be handled under a separate directive. However, you may submit a description of your practices for bringing qualified and diverse applicants to your organization and maintaining low turnover of newly acquired talent.
4. **Promotional Practices** – a description of your department's practices for hiring within (promotion) versus going outside your organization, either within state government, or to the public in general. See Attachment D for some additional guidance.
5. **Complaint Handling** – a description of the process you use in handling and resolving complaints related to hiring. See Attachment D for a sample.
6. **Confidentiality and Records Retention** – a description of your policy and practice for hiring-records administration. See Attachment D.

B. Action Steps in the Hiring Process

In this section, each step in the hiring process is identified. Hiring is a sequence of steps, each of which is important to a successful and unbiased outcome. Again, each step should be clear enough to be understood by all department personnel involved in the particular action step. These steps are arranged in a general process flow for hiring. Additional steps or sub-steps may be needed in your summary, and the practices used in some steps may vary according to individual business units within your department, such as for institutions that operate with some level of autonomy from the central authority. References are provided in the Iowa Administrative Code, the Managers and Supervisors Manual, the Applicant Screening Manual, or Attachments. Please use these as references as needed.

Please document your practices for each step below.

1. **Position Establishment** – Describe the process by which a new position is created, refilled, and approved by the Department. This might include a review of your workforce plan, or may tie in to your strategic plan or other departmental planning document. See the IAC Chapter 11-56.

Elements to Include in Written Hiring Practices Summary

2. **Contract Transfers and Recall** – Describe the process that you follow to comply with contract transfer and recall agreements with the union. See “Steps in the Hiring Process,” which can be accessed from “Lists” on the General Information for Managers and Supervisors page cited above.
3. **Development of Screening Plans, Devices, and Interview Methods** – Provide a description of how screening plans are developed and used in the selection process, how the hiring lists issued by DAS-HRE are handled, and how all qualified candidates are typically screened and scored to narrow the list to select for interviews. Describe how the process may vary for job vacancies that are underutilized for protected class applicants. See Chapters 10-14 in the Applicant Screening Manual.
4. **Testing** – Describe any testing that is done by your department, including its intent, how it is administered, scored, validated, and how it is used to screen applicants. This should include any written or oral quizzes, questionnaires, and tests relating to physical fitness.
5. **Veteran’s Preference** – Describe how veteran’s preference points are applied in the hiring process for your Department. See section 4.35 of the Managers and Supervisors Manual and the IAC, Chapter 11-54.
6. **Vacancy Announcements and Advertising** – Describe how vacancy announcements (other than posting on the DAS-HRE BrassRing system) are developed and used by your Department. See Chapter 4 of the Applicant Screening Manual.
7. **Interviews** – Describe how interviews are handled in terms of how questions are developed, who is involved in the interview process, and how interviewees are ranked or scored. See Chapter 18 of the State of Iowa Applicant Screening Manual. Also refer to the DAS-HRE Performance and Development Solutions course, “*From Interview to Hire*.”
8. **Reference and Background Checks** – Describe the process for checking references and submit your policy and procedure for conducting background checks. See Chapters 15 and 16 of the Applicant Screening Manual and the IAC, Chapter 11-54.
9. **Applicant Notification** – Describe how candidates are notified as they are eliminated from consideration in the process. See Chapter 21 of the Applicant Screening Manual.
10. **Pre-Job Offer Decision Review** – Describe the process for reviewing final job candidates before an offer is made. Describe how the process may differ when a non-protected class applicant emerges among top candidates for the job in an underutilized job class.

Elements to Include in Written Hiring Practices Summary

- 11. Job Offers** – Describe how job offers are made; for example, in person, over the phone, or in writing. See Chapter 21 of the Applicant Screening Manual for examples.
- 12. New Hires** – Describe how new hires are oriented, including what information they receive (Position Description Questionnaire, individual development plan, individual performance plan, and so on) and timelines followed.
- 13. Probationary Period** – Describe how probationary employees are handled in the areas of training, performance feedback, and consideration for permanent employment.



Iowa Department of
Administrative Services

Director's Office

Attachment B

Chester J. Culver, Governor
Patty Judge, Lt. Governor

Mollie K. Anderson, Director

December 3, 2007

MEMORANDUM

TO: All DAS Employees

FR: Mollie Anderson

RE: Employment Practices and Hiring Policy

It is the purpose of the Department of Administrative Services to provide high quality, affordable infrastructure products and services to Iowa state government customers in a manner that empowers them to provide better service to the citizens of Iowa and support the State of Iowa in achieving economic growth. DAS is Government's Partner in Achieving Results.

Our workforce must possess and demonstrate the necessary expertise to deliver that service. The recruitment and selection of talented and motivated employees is a primary factor in making that happen. We fully support the Equal Employment Opportunity and Affirmative Action Policy (EEO/AA) of the State of Iowa. The purpose of this document is to establish a department-wide policy that addresses how we will implement our commitment to EEO/AA and Executive Order Four to hire a diverse and competent workforce to serve the people of Iowa.

Employment Practices Policy Statement

It is the policy of the Department of Administrative Services to promote and ensure equal employment opportunity for all persons regardless of race, color, gender, national origin, religion, age, disability, or sexual orientation.

Equal employment opportunity principles will govern all aspects of the Department of Administrative Services personnel policies, program practices, and operations. All phases of employment, including recruitment, hiring, evaluation, promotion, transfer, assignment, training, benefits, and separation shall be conducted in compliance with equal employment opportunity laws, regulations, and in the spirit of creating a welcoming and diverse workplace.

Example of Roles and Responsibilities

Roles and Responsibilities

The Department will define hiring responsibilities based on organizational structure and geographic considerations. Below is a generalized example. Additional detail may be needed.

Division or Regional Administrator

Each Division Administrator will:

1. Receive diversity training and technical hiring process training annually.
2. Assure that the Position Description Questionnaire and individual performance plans of all individuals involved in the hiring process include duties and expectations of performance consistent with their level of involvement in the process.
3. Assure that all staff involved in the hiring process receive training consistent with their hiring duties and have reviewed the appropriate hiring-related resources.
4. Review all proposals to fill vacancies to assure that the organizational needs of the Department are met in terms of job design, reporting relationship, and funding authority.
5. Request and review all hiring justifications in the Division to assure that protected class applicants receive consideration for interview and hire. The Division Administrator and Selecting Authority (hiring supervisor) will sign off on all final hiring decisions and the Division Administrator will review all decisions with the Director, whenever protected class applicants are not hired in underutilized job vacancies.
6. Maintain an organizational chart and list that identifies each individual in the division who is authorized to participate in the hiring process in each of the following areas:
 - Develops, modifies, and approves Position Description Questionnaires.
 - Implements the Department's Recruitment Plan.
 - Develops and approves screening and selection devices, including methods to screen hiring lists to select for interview and interview questions.
 - Posts vacancies on the State's website, coordinates the distribution of hiring lists, and updates the applicant tracking system to final coding and disposition of the hiring list.
 - Utilizes appropriate screening devices and participates in the interview process.
 - Develops final hiring recommendations, including recommended offers of employment.

Example of Roles and Responsibilities

Supervisor (Hiring Authority)

Each Supervisor will:

1. Assure that all required action steps in the Department's hiring process listed above are followed properly.
2. Receive diversity training and technical hiring process training annually.
3. Assure that the Position Description Questionnaire correctly reflects the duties and responsibilities assigned to the vacant position.
4. Review the history of the applicant pool and turnover rate of the job class to determine what level of recruiting is needed in the current situation. Undertake recruitment actions as defined in the Department's Recruitment and Retention Plan.
5. Develop and/or review screening devices and scoring methods to be used to narrow the hiring list, based on the guidance provided in the Department of Administrative Services – Human Resources Enterprise (DAS-HRE) Applicant Screening Manual and other resources. Seeks additional DAS-HRE guidance as needed.
6. Develop and/or review interview questions and scoring methods to be used to conduct interviews.
7. Conduct interviews by establishing an interview panel that has been appropriately trained.
8. Conduct or oversee reference and background checks as described in this policy.
9. Develop recommendations regarding the selection of finalists and job offers.
10. Negotiate provisions of job offer with finalists as directed.
11. Code or provide the necessary information to the Administrative/Personnel Assistant to code the BrassRing hire list or other required DAS-HRE or internal reporting forms for each applicant.
12. Retain all information, documents and forms listed in the Records Retention Policy below or provide this information to an identified agency person properly trained for records retention.
13. Participate in the orientation process, including formulation of development and individual performance plans and probationary performance evaluations.
14. Determine whether the employee will become permanent. (See Chapter 22 of the State of Iowa Applicant Screening Manual).

Example of Roles and Responsibilities

Administrative/Personnel Assistant

Each Administrative Assistant or Personnel Assistant will:

1. Provide assistance to the Supervisor consisting of facilitating and supporting the hiring process through preparation of communications, lists, forms, data entry into the applicant tracking system, record retention, and finalizing the appropriate forms to bring the new employee on board.
2. Receive diversity and/or technical hiring process training as directed by this policy.

The following guidelines are provided as examples that may be expanded upon to develop your department policies in the areas of promotions, background and reference checks, complaint handling, and record retention/confidentiality. There may be alternate practices to achieve your objectives relating to these topics.

A. Promotional Guidelines

The Department is committed to having a diverse, qualified workforce that has the necessary competencies to perform the job. The following factors will be considered for potential promotional internal posting:

1. The hiring authority will determine where the requisite competencies and skill sets can be acquired within the Department, within state government, or externally. This will result in a strategy for hiring internally, within state government, or external to state government. Known, potential candidates, skill sets, persons holding related job titles, and similar factors will be considered in this assessment.
2. Whenever possible, the Department balances external hires with internal hires so that the workforce is comprised of a mix of new and experienced employees, and who represent a diverse blend of work experience and backgrounds.
3. When vacancies occur in underutilized job classes, before the posting is limited to internal candidates only, strong consideration must be given to whether there is an adequate potential internal candidate pool. Otherwise, external candidates will not only be considered but encouraged to apply through robust recruitment efforts.

B. Background and Reference Checks

Background checks will be conducted according to the IAC Chapter 11-54.

At least two checks of professional references are conducted on all external final candidates. When possible, these are candidates' current and previous employers within the past five years. Reference checks from current and prior supervisors will also be conducted on internal candidates who do not currently work for the hiring authority. Reference checks are considered a selection device, because they provide information leading to a potential employment decision; therefore, they must be job-related and involve critical competencies.

Since the State is considered one employer, when contacted by other state hiring authorities, department hiring authorities will provide timely, accurate, and comprehensive information about employees they have supervised or currently supervise.

C. Complaint Handling

The Department's policy concerning handling inquiries or complaints about the hiring process will follow Section E of the State of Iowa Equal Opportunity, Affirmative Action, and Anti-Discrimination policy. The internal process is as follows:

1. All complaints from applicants for specific job openings will be forwarded to the hiring authority for response and then to the Division Administrator and the Department's Personnel Officer for review.
2. All complaints from applicants for specific job openings will be answered within two working days of receipt. Where additional time may be necessary to adequately investigate the charges, the complainant will be notified within two days of receipt of the initial complaint that additional time to respond is necessary and will be provided an approximate response date.
3. All copies of complaints and subsequent responses will be filed and retained by the Department.
4. On an annual basis, the Administration Division Director will review the file and report any trends or necessary follow-up to the Director.
5. All complaints about the hiring process that do not concern specific job openings will be referred to previously identified management staff and the Department's Personnel Officer for review. The same time provisions outlined in #2 above prevail. Such complaints and the subsequent responses will be retained in a separate file from those concerning specific job openings but will also be reviewed annually per #4 above.
6. The Department will fully cooperate with the Department of Administrative Services – Human Resources Enterprise (DAS-HRE) staff in investigating and resolving complaints concerning the Department's hiring process received by DAS-HRE.

D. Records Retention and Confidentiality

All records relating to the hiring process will be maintained for three years in a secure location. (See Chapter 21 of the State of Iowa Applicant Screening Manual.)

It is expected that each person who is involved with the Department's hiring process respects the privacy of each applicant for each posted vacancy. This includes, but is not limited to, the following:

1. Do not divulge the names or other personal information about the applicants on the hire list to anyone not directly associated with the hiring process.
2. Do not discuss application information, selection process results, or information obtained during the interview with anyone not directly associated with the hiring process.
3. Retain application/applicant information, so that it is not readily visible to others not directly associated with the hiring process.

**State Hiring Practices:
Checklist for Written Summary
Due February 1, 2008**

Your written summary must address each of the items listed below. However, if your agency currently is not doing one or more of the following, you may indicate that in your summary. Please contact your Personnel Officer with any questions.

A. General Hiring Policy Guidelines and Administration

1. Memo of Support for Department's Hiring Policy and Practices
2. Roles and Responsibilities
3. Recruitment and Retention (formal plan not required at this time)
4. Promotional Practices
5. Complaint Handling
6. Confidentiality and Records Retention

B. Action Steps in the Hiring Process

1. Position Establishment
2. Contract Transfers and Recall
3. Development of Screening Plans, Devices, and Interview Methods
4. Testing
5. Veteran's Preference
6. Vacancy Announcements and Advertising
7. Interviews
8. Reference and Background Checks
9. Applicant Notification
10. Pre-Job Offer Decision Review
11. Job Offers
12. New Hires
13. Probationary Period

Please e-mail your written summary to nancy.berggren@iowa.gov or send it to her at:

Nancy Berggren
Chief Operating Officer
Department of Administrative Services
Human Resources Enterprise
Hoover Building, Level A
1305 East Walnut
Des Moines, IA 50319



HIRING PRACTICES EVALUATION FORM

Department Reviewed: _____

Date Review Completed: _____

Reviewed by: _____

General Comments:

Strengths:

Weaknesses:

Areas Needing Attention:

Rating Scale:

3 = response adequately addresses request

2 = response is weak or lacking in one or more areas

1 = response is absent or too vague

HIRING PRACTICES EVALUATION FORM

A. General Hiring Policy Guidelines and Administration

	Rating	Comments
1. Memo of Support for Department's Hiring Policy and Practices Memo included?		
2. Hiring Roles and Responsibilities a. Listing of roles and responsibilities. b. Description of training required.		
3. Recruitment and Retention a. Optional: Recruitment and Retention Plan. b. Optional: description of current practices.		
4. Promotional Practices Description of current practices.		
5. Complaint Handling Description of process currently used.		
6. Confidentiality and Records Retention Description of current practice.		

HIRING PRACTICES EVALUATION FORM

B. Action Steps in the Hiring Process

	Rating	Comments
1. Position Establishment		
a. Description of current practice.		
b. Optional: linkage to workforce plan, strategic plan, etc.		
2. Contract Transfers and Recall		
Description of how departments ensure these steps are followed.		
3. Development of Screening Plans, Devices, and Interview Methods		
a. Description of how screening plans are developed.		
b. How are hiring lists from DAS-HRE handled?		
c. Description of how lists are narrowed to those to be interviewed.		
d. Description of how process may vary, especially for underutilized job classes.		
4. Testing		
Description of any testing that is done, including its intent, how it is administered, scored, validated, and how it is used to screen applicants.		

HIRING PRACTICES EVALUATION FORM

	Rating	Comments
5. Veteran's Preference Description of how veteran's preference points are applied in the hiring process.		
6. Vacancy Announcements and Advertising Description of how vacancy announcements (other than posting on the DAS-HRE BrassRing system) are developed and used.		
7. Interviews Description of how interviews are handled in terms of how questions are developed, who is involved in the interview process, and how interviewees are ranked or scored.		
8. Reference and Background Checks a. Description of policy and procedure for conducting reference checks. b. Description of policy and procedure for conducting background checks.		
9. Applicant Notification Description of how candidates are notified as they are eliminated from consideration in the process.		
10. Pre-Job Offer Decision Review a. Description of the process for reviewing final job candidates before an offer is made. b. Description of how the process may differ when a non-protected class applicant emerges among top candidates for the job in an underutilized job class.		

HIRING PRACTICES EVALUATION FORM

	Rating	Comments
11. Job Offers Description of how job offers are made.		
12. New Hires Description of how new hires are oriented.		
13. Probationary Period Description of how probationary employees are handled in the areas of training, performance feedback, and consideration for permanent employment.		
14. Other Items Submitted		